

OFFICE OF ENERGY RESEARCH

**PROJECT BASELINE CHANGE
CONTROL**

GUIDELINES

January 23, 1992

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**OFFICE OF ENERGY RESEARCH
PROJECT BASELINE CHANGE CONTROL
GUIDELINES**

1.0 PURPOSE

The purpose of these guidelines is to define the Department of Energy (DOE) Headquarters Office of Energy Research (ER) change control process and set criteria for the subordinate change control process for projects. A disciplined change control process shall be used to control changes to established cost, schedule, and technical baselines for all project activities.

A disciplined and integrated change control process shall be implemented in the Office of Energy Research to:

- Establish cost, schedule, and technical baselines and thresholds for projects;
- Assure changes to these baselines are defined, documented, and formally approved and that authority and responsibility for approval are delineated;
- Provide assurance that decisions are made at the appropriate management level; and
- Enhance accountability and traceability in the decision making process.

2.0 SCOPE OF THESE GUIDELINES

These guidelines are applicable to all Energy Research organizational elements, including DOE Headquarters (HQ) and field offices involved in establishing or changing cost, schedule, and technical baselines for projects.

3.0 REFERENCES

- SEN-27-90, Strengthening the Department of Energy Project Management System, August 15, 1990
- • DOE N 4700.4A, Baseline Change Control Process at the Executive Level, October 31, 1991
- • DOE 4700.1, Project Management System, March 6, 1987

4.0 DEFINITIONS AND ABBREVIATIONS

4.1 Definitions

Program Manager - An individual in an organization or activity who is responsible for the management of a specific function or functions, for budget formulation, and for execution of the approved budget. The Program Manager receives an approved funding program from the Office of the Chief Financial Officer identifying program dollars available to accomplish the assigned function. For the process outlined in this document, the Program Manager is the primary contact.

Program Officer - An individual in an organization or activity who is responsible for the day-to-day management of a specific function or functions under the direction of the Program Manager.

Project Manager - An individual in the field responsible for the day-to-day management of a project. A Project Plan delineates the specific responsibilities of the Project Manager for each project.

Secretariat - The office that performs the administrative functions for a Change Control Board.

4.2 Abbreviations

AE	Acquisition Executive
BCCB	Baseline Change Control Board
BCP	Baseline Change Proposal
DOE	Department of Energy
ESAAB	Energy Systems Acquisition Advisory Board
HQ	Headquarters (DOE)
MSA	Major System Acquisition
MP	Major Project
ER	Energy Research
SEN	Secretary of Energy Notice
TEC	Total Estimated Cost (Replaced by TECC)
TECC	Total Estimated Construction Cost
TPC	Total Project Cost

5.0 RESPONSIBILITIES

5.1 Director, Office of Energy Research (Director of

OER)

The Director of OER responsibilities are to:

- • Establish, implement, and maintain the Energy Research baseline change control process;
- • Act as Chairperson of the Energy Research Baseline Change Control Board (BCCB) or designate an alternate with full authority;
- • Approve or disapprove all proposed Major System Acquisition (MSA) Baselines and thresholds prior to submittal to the Acquisition Executive (AE);
- • Approve all changes to MSA baselines above specified thresholds at Level 1 (see 6.1.1 for definition);
- • Approve all proposed baselines and thresholds for Major Projects (MP); and
- • Approve all changes to MP baselines above specified thresholds.

5.2 Field Organizations Responsible for Energy Research Projects

The field organizations responsible for Energy Research projects responsibilities are to:

- • Establish Level 2 (see 6.1.1 for definition) Control Boards and provide oversight of contractor change control systems;
- • Approve baselines and thresholds for change control of Congressional Budget Line Item projects, other than MSAs or MPs; and
- • Implement Field baseline change control process and provide direction to contractor organizations for implementation of change control process.

6.0 ACTION STEPS FOR ENERGY RESEARCH BASELINE CHANGE CONTROL PROCESS

6.1 Establishment of ER Change Control Boards and

Change Control Systems

DOE has established four baseline change control levels for review and disposition of all baseline change proposals. Change control boards, systems, and processes shall be established as appropriate at Headquarters and at the Field as follows:

6.1.1 Levels of Control

<u>Level</u>	<u>Organization</u>
0	ESAAB (AE decisions)
1	HQ Program Board (Director of OER decisions)
2	Field Office Board
3	Contractor Board

There shall be Headquarters ER executive level change control boards at two levels;

- A. Level 0, with the Energy Systems Acquisition Advisory Board (ESAAB) as the change control board and the Deputy Secretary as Chairperson, to act upon MSAs and selected MP changes that breach designated thresholds for Deputy Secretary action;
- B. Level 1, an ER Baseline Change Control Board (BCCB) with the Director of OER as the Chairperson, to act upon MSAs and selected MP changes which breach designated thresholds for Program Office action, including changes proposed for MPs not selected for review by the Deputy Secretary.

6.2 Headquarters ER Baseline Change Control Board and Change Control Process at the Executive Level 1

6.2.1 ER Baseline Change Control Board

A. Board Authority and Responsibilities

The ER BCCBs have direct authority and responsibility for disposition of all Change Requests to MSA's and MP's cost, schedule, and technical baselines within approved thresholds, and endorsement for approval or disapproval of such changes that fall within the Deputy Secretary's jurisdiction.

B. Board Membership

The ER BCCB will be composed of the Director of Energy Research, or his/her designee as chairperson and deciding official. All other members act in an advisory capacity. Members may be selected from the program (including Program Managers and Officers from other than the proponent program) and staff offices (such as Financial Management, Acquisition and Assistance, Policy and Management Analysis, Assessment and Support) of ER and/or from offices outside ER as appropriate.

Presenter: Field Project Manager and Program Officer

Secretariat: Director of the Division of Construction Management Support (ER-65) as presently designated by the Director of OER.

C. Board Membership Roles and Responsibilities

1. The ER BCCB's responsibilities are to:

- Review and to act on requested changes to cost, schedule, and technical baselines; and
- Assure that environment, safety, health, quality assurance, and security requirements are met for all requested changes.

2. The Chairperson's responsibilities are to:

- Select board members on a case-by-case basis;
- Appoint the Secretariat;
- Preside over ER BCCB meetings;
- Assign action items which may result from meeting discussions of requested changes;
- Make decision on all requested changes. At his/her discretion, the Chairperson may make disposition decisions without conducting a BCCB meeting or consulting the board;

- Complete and sign the disposition block of the ER Baseline Change Proposal (BCP);
- Assure that the ER BCCB membership is fulfilling its responsibilities; and
- May delegate, at his or her discretion, authority for changes under his/her control to DOE field offices' lower level boards. Baseline components and thresholds for changes are proposed by an HQ Program Division and approved by the ER BCCB Chairperson at Key Decision 1, Approval of New Start.

3. The member's/adviser's responsibilities are to:

- Provide timely review and evaluation of proposed changes with particular emphasis on the functions for which they have primary responsibility;
- Provide Comments promptly on the Staff Review Record document;
- Attend all BCCB meetings or provide an alternate to attend. Designation of alternates will be in writing, addressed to the ER BCCB Secretariat, who will record and retain them; and
- Affix their signature and signature date to the ER BCP document.

4. The presenter's responsibilities are to:

- Present the proposed change;
- Identify programmatic impact, if any, to the BCCB; and
- Respond to board questions.

5. The Secretariat's responsibilities are to:

- Inform Board members and program and project offices of required formats, data, and the review and approval process;

- Receive and record in the Baseline Change Log receipt of all change proposals submitted;
- Provide copies of the BCP to all Board members and log the staffing date and distribution;
- Coordinate and document information requests and comment resolution (as needed);
- Provide the Board Chairperson with a summary of Board comments on results of the staff and board review prior to the Board meeting, when required;
- Propose, with the concurrence of the program office, immediate disposition of changes without Board action, where appropriate;
- Coordinate date and location of BCCB meetings, prepare agenda, and organize other meeting requirements;
- Attend all meetings and record salient points of all issues discussed;
- Prepare and distribute meeting minutes;
- Distribute copies of minutes and Baseline Change Proposal Disposition Records to all board members, the change proponent, and the appropriate Program and Project Managers and Program Officer;
- Document action assignments and track as required;
- Forward originals of change proposals and completed actions to the project office for permanent retention;
- Forward change proposals that have been endorsed by the ER BCCB to the Level 0 Board Secretariat for Level 0 Board action if required or for informational purposes, if no Level 0 action is required;

- Report to the BCCB at regular intervals on the status of open action items; upcoming change proposals; disposition of change proposals forwarded to the Level 0 Board; activity of the Level 2 boards; and on directed changes and their impacts, as identified by the projects; and
- Monitor the activities of Field Office Boards and summarize their activity for the ER BCCB Chairperson.

6.2.2 ER Baseline Change Control Process at the Program Level

The Program (Level 1) baseline change control process is summarized in Figure 1 and as follows:

A. Initiation of ER BCP

Changes are submitted to the Program level Change Control Board using the Energy Research BCP(Att. 1).

The BCP form is only required for:

- Changes to MSAs, MPs, and operating funded projects that exceed the established thresholds for field disposition;
- Endorsement of a change requiring disposition by the Deputy Secretary; and
- Documenting impacts resulting from directed changes. Although approval is inherent in the direction, the information is necessary for management understanding of impact and project traceability.

B. Receipt of the ER BCP

The BCP is submitted by the Level 2 BCCB Secretariat to the ER BCCB Secretariat for logging (See Attachment 3) and reviewing for completeness. If the BCP is not complete, the Secretariat notifies the originator and requests the missing data.

The BCP is not deemed "received" until the data is complete. For those BCPs deemed complete, the Secretariat copies and

distributes the BCP to the Program Manager.

FIGURE 1 IS PAGE 9a

C. Review of the BCP by the Program Manager

The Program Manager evaluates the BCP and rejects or accepts the proposal. Rejected BCPs are returned to the originator by the Secretariat. Accepted changes are returned to the Secretariat to initiate the BCCB review. The Program Manager identifies the advisers that should be included in the review process and forwards this information to the Secretariat.

D. Review of the BCP by the BCCB

The Secretariat will distribute the BCP to the Board members and advisers. The Board members and advisers review the data provided, record their comments and recommendations, and return those comments within the specified review period.

The Board members and advisers may request additional information during the review period. The Secretariat coordinates and expedites these requests. If the requested information is not provided prior to the planned Board meeting, the Chairperson will decide if deferral of the proposal is in order.

The review by the Board members and advisers may raise issues that need resolution. The Secretariat will attempt to resolve the issues prior to the Board meeting. If the issues cannot be resolved before the Board meeting, the issues will be presented to the Chairperson by the Board member/adviser during the Board meeting as input to the disposition of the BCP.

E. Review of the BCP by the Chairperson

The Secretariat summarizes the comments and recommendations for each change proposal and provides the summary to the Chairperson (See Attachment 3). The Chairperson decides, based on the Board comments and the Secretariat recommendations, whether a Board meeting is desirable. If the Chairperson does not desire a Board meeting, the disposition of the Change Proposal will be carried out by the Chairperson according to section G.

F. Review of the Change Proposal at the Board Meeting

The Secretariat plans and schedules Board meetings based on

the need for each Change Proposal decision. The Project Manager and the Program Officer, or their designee, presents the change approach to the Board if required, answers questions, and participates in the discussions of the Change Proposal.

At the completion of discussion or if no discussion is needed, the Chairperson polls the Board for its recommendations. The Secretariat records the recommendations of each member or adviser and the salient points of discussion for the minutes.

The Board members/advisers sign the BCP with their recommendations. If any member or adviser is not present, the Secretariat will present the comments and recommendations of the absent member to the Board if available. If no comments have been received, the Secretariat will so inform the Chairperson.

The disposition of the Change Proposal will be carried out by the Chairperson according to section G below.

G. Disposition of the Change Proposal by the Chairperson

The disposition of the Change Proposal will be carried out as follows:

If the BCP is within his or her authority (i.e., the proposed changes are beneath the thresholds for action by the Level 0 Board) the Chairperson may:

1. Approve the Change Proposal;
2. Approve the Change Proposal with conditions;
3. Defer action on the Change Proposal for additional information, revision, study, etc.;
- or
4. Disapprove the Change Proposal.

If the BCP must be acted upon by the Level 0 Board (i.e., the proposed changes are above the threshold for action by the Level 1 Board) the Chairperson may:

1. Endorse the Change Proposal and forward it for Level 0 Board approval or disapproval;
2. Disapprove the Change Proposal; or

3. Defer action on the Change Proposal for additional information, revision, study, etc.

If the BCP represents a Directed Change (i.e., no decision is needed because the proposed changes are required by DOE directive, law, regulation, or budget decision) the Chairperson will:

1. Document the impact of the change, and the baselines are revised accordingly.

H. The Distribution of the Disposition of the Change Proposal

The Secretariat distributes the change proposal depending on its disposition as follows:

MSA change endorsed: to Level 0 (ESAAB) Secretariat;

MP/MSA change approved:
to Program and ProjectManagers;

Change deferred (all projects):
Return to originator;

Change rejected (all projects):
Return to originator; and

- Originals of all documentation to Level 2
Project BCCB Secretariat for retention.

6.2.3 Time Allowed for Processing Change Proposals

Change proposals are processed according to the following times allowed beginning at receipt of the complete BCP package by the ER BCCB Secretariat.

A. Priority Changes - The maximum allowable time for processing is 10 working days for each board.

B. Routine Changes - The maximum allowable time for processing is 20 working days for each board.

6.3 Energy Research Project Baseline Change Control at the Field Level

Energy Research Field organizations shall establish change control boards to implement Level 2 control over project changes and provide direction to contractor organizations for implementation of Level 3 change control boards.

6.3.1 Applicability

Change control is applied to all construction projects, whether capital or operating funded. Based on Total Project Cost, each project is categorized as either an MSA, MP, or Other.

<u>Class</u>	<u>TPC¹</u>
MSA	Equal to or greater than \$100M
MP ²	Greater than \$50M; less than \$100M
Other ³	Less than \$50M

¹Total Project Cost per DOE N 4700.4A

²MPs may be designated by the Deputy Secretary to administered as an MSA

³Other Projects consist of General Plant Projects (\$0-\$1.2M) and Line Item Construction Projects (\$1.2M-\$50M)

6.3.2 Approval of Baselines and Thresholds

Cost, schedule, and technical baselines and thresholds must be established for all projects at Key Decision No. 1, Approval of New Start. Thresholds are established according to Table 1 or as modified with the approval of the appropriate BCCB Chairperson. Project baselines are defined, documented, and approved for each control level as noted below:

<u>Level</u>	<u>Approval Organization</u>	<u>MSA</u>	<u>MP</u>	
<u>Other</u>				
0	ESAAB		X	
1	Program		X	X
2	Field	X	X	X
3	Contractor	X	X	X

1. MSA Projects The highest control level for MSA projects is Level 0 (ESAAB). Baselines and thresholds must have the concurrence of the Director of OER and approval of the AE.

2. MP Projects The highest control level for MP projects is Level 1 (Program). Baselines and thresholds must have the concurrence of the responsible ER Program Manager and approval of the AE (normally the Director of OER).
3. Other Projects. The highest control level for Other projects is Level 2 (Field). Baselines and thresholds must be established, documented, and approved at the Field level and have the concurrence of the responsible ER Program Manager.

TABLE 1
PROJECT CHANGE CONTROL THRESHOLDS

	AE THRESHOLDS (LEVEL 0)	PROGRAM THRESHOLDS (LEVEL 1)	PROJECT THRESHOLDS (LEVEL 2)	CONTRACTOR THRESHOLDS (LEVEL 3)
TECHNICAL	All changes impacting the Level 0 technical baseline.	All changes impacting the Level 0 and Level 1 technical baseline.	All changes impacting the Level 0, 1, & 2 technical baseline.	Changes not impacting the Level 0, 1, or 2 technical baseline.
SCHEDULE	Six months or greater slip in any Level 0 milestone.	Three months or greater for a slip in a Level 0 milestone or/and a slip in a Level 1 milestone as defined in the approved Project Plan.	Greater than 1 month and less than 3 months slip in a Level 0 or Level 1 milestone or a slip in a Level 2 milestone as defined in the approved Project Plan.	Thresholds as approved in the Project Plan for milestones not included in Level 0, 1, or 2 responsibility
COST	Any change to the TECC or TPC. Any	Any change to the TECC or TPC. Dollar	Any change to the TECC or TPC. Dollar	Any change to the TECC or TPC. Dollar

single change greater than \$50 million within the TECC or TPC, or any change to specific cost elements controlled by the AE.

thresholds for TECC and TPC change approval, or/and thresholds for major TECC/TPC cost elements as identified in the Project Plan.

thresholds for TECC and TPC change approval, or/and thresholds for major TECC/TPC cost elements as identified in the Project Plan.

thresholds for changes as identified in the Project Plan.

6.3.3 Time Allowed for Processing Change Proposals

Change proposals are processed according to the following times allowed beginning at receipt of the complete BCP package by the Board Secretariat.

- A. Priority Changes - The maximum allowable time for processing is 10 working days for each board.
- B. Routine Changes - The maximum allowable time for processing is 20 working days for each board.

6.3.4 Project Baseline Change Control Boards and Systems and Project Change Control Process at the Field Level

To ensure an integrated change control system from the field through HQ and appropriate control of all projects, project field change control boards, systems, and processes must be established and implemented in the Field Offices according to the following requirements:

6.3.4.1 Field Baseline Change Control - Boards and Systems

A. Boards

Baseline Change Control Boards must be established to process changes to all MSAs and MPs. Boards are non voting and consist of a Chairperson, members, and advisers. For each Field board, contractors may be advisers to the board and this is encouraged. The Chairperson has full decision making authority and may provide disposition without conducting a board meeting.

For each MSA, a separate Board must be established (i.e., one project per Board). Each Field Office may establish a single Board or multiple Boards for MPs (i.e., one or more projects per Board and each office may have one or more Boards).

B. Systems

For all Other projects, formal baseline change control systems must be established at each Field organization. System design is the responsibility of each Field organization and must be in compliance with DOE 4700.1. Boards are not required. Minimum requirements include:

- Cost, schedule, and technical baselines and thresholds must be established;
- Procedures must be established that document how the system is structured, how it works, and what records and reports are required;
- Authority for approval of baseline changes must be defined, documented, and approved;
- Decisions must be made by the appropriate management level decision maker and disposition must be documented; and
- Baseline changes must be clearly defined, documented, and approved before implementation.

Summary of Boards and Systems required:

<u>Level</u>	<u>Organization</u>	<u>MSA</u>	<u>MP</u>	<u>Other</u>
0	ESAAB	Board	(N/A)	(N/A)
1	Program	Board	Board	(N/A)
2	Field	Board ¹	Board ²	System
3	Contractor	Board	Board	System

¹Each Field Office or organization must establish a separate Board for each MSA project.

²Each Field Office must establish a single Board or multiple Boards for MPs.

6.3.4.2 Project Baseline Change Control Process at the Field Level

A. Process

Each Field must prepare, approve, and issue formal documentation that defines the structure of the change control process and the mechanics of how it works (i.e., procedures and board charters). The process documentation must address change control for MSAs, MPs, and Other projects.

B. Baseline Change Proposals

Each Field organization must ensure that all proposed changes are documented. Minimum requirements include: description of the change, justification, impact of non approval, and impact to project's cost, schedule, technical baselines, and changes to the funding profile.

Changes that require HQ board action must be submitted on the Energy Research BCP form. The ER BCP form and instructions for completion are located in Attachments 1 and 2.

C. Record of Disposition

Disposition of all proposed changes to MSAs and MPs must be recorded, dated, and signed by the DOE change control board Chairperson according to Section 7.2.2. Disposition for Other projects must be documented in some responsible way by the responsible DOE line/project manager. Each field must submit to the Level 1 Secretariat copies of all MSA and MP Field approved change requests, disposition records, meeting minutes, and summaries of actions taken.

7.0 APPEAL PROCEDURE

If a requested BCP is turned down, then the advocate of the change has the prerogative to appeal the decision to the next higher level, according to the following procedure. The decision cannot be appealed at greater than one level above the level at which the Change Proposal was first denied nor appealed above Level 1.

1. All the relevant material should be forwarded to the Secretariat of the next level board above the level which the Change Proposal was denied. Succinct arguments for the appeal should also be presented in this material.
2. The Secretariat of the appeal board will review the material for completeness.
3. The Secretariat shall schedule a BCCB. An appeal cannot be decided by the Chairman without holding a BCCB meeting.
4. The Chairman shall make the final decision, and the

results of that decision shall be distributed as7i0.2
G.

5. The decision by the Chairman, at the appeal level, is
final.

8.0 ATTACHMENTS

Attachment 1 -Energy Research Baseline Change Proposal
Forms

Attachment 2 -Instructions for Completing the Energy
Research Baseline Change Proposal Forms

Attachment 3 -Energy Research BCCB Process Forms

Attachment 4 -Energy Research BCCB Charter

ATTACHMENT 1

ENERGY RESEARCH
BASELINE CHANGE PROPOSAL
FORMS

ATTACHMENT 2

INSTRUCTIONS FOR COMPLETING THE
ENERGY RESEARCH
BASELINE CHANGE PROPOSAL

ATTACHMENT 2

INSTRUCTIONS FOR COMPLETING THE ENERGY RESEARCH BASELINE CHANGE PROPOSAL

The ER Baseline Change Proposal (BCP) form is used to document the impact of all proposed changes to baselines that require ER board disposition. The form provides for a concise description and justification of the change and documents fully any impact to cost, schedule, and technical baselines. The form is used for changes to Major System Acquisitions (MSAs), Major Projects (MPs), and operating activities that exceed established thresholds for Field disposition.

Instructions for preparing the BCP form for MSAs and MPs are as follows:

1. BCP Number. A unique number assigned by the Field office or contractor to identify the change proposal. The BCP Number will typically be assigned when logged into the Field's Change Control Log.

2. BCP Title. A brief title or descriptive statement that identifies the change. The BCP Number and Title are used for identification at the top of each of the four pages. The BCP Number will be entered into blocks 1, 17, 24, and 30. The BCP Title will be entered into blocks 2, 18, 25 and 31.

3. Budget Number. The Line Item Project number.

Example: The Line Item Project number for the 6-7 GeV
Synchrotron Radiation Source is 89-R-402.

4. MSA/MP Title. The commonly accepted title or acronym of the Major System Acquisition (MSA) or Major Project (MP).

Examples:

Relativistic Heavy Ion Collider (RHIC)

Continuous Electron Beam Accelerator Facility (CEBAF)

5. Date Received. Enter the date the completed BCP was received for processing by the Field Office (Level 2), and the Program Office (Level 1).

6. Change Designation. Indicate either "Priority" or "Routine"

processing. Upon receipt, each level board has 10 workdays to process "Priority" changes and 20 days for "Routine" changes.

7. BCP Level. This identifies the highest level of authority required to provide disposition of the change proposal. Approval authority is determined by thresholds established for each project.

8. Directed Change. Directed changes are imposed on the project with direction to implement, such as changes to approved budgets, funding, DOE policy directives, regulations, or statutory requirements. Directed changes ~~not~~ require formal board approval, but the impacts of directed changes need to be defined and incorporated into the project baseline documentation. Check "Yes" if the change is a directed change.

9. Program. Designate the program office that has management oversight of the project within ER, such as Basic Energy Sciences (BES), High Energy Physics (HEP), etc.

10. Point-Of-Contact. This is the Project Manager or individual responsible for preparation and submittal of the change proposal. During processing, the individual may be contacted to clarify or submit additional information. The Level 2 Secretariat should be indicated if he/she is not the Point-of-Contact.

11. Phone. The Point-Of-Contact's phone number. Specify area code or FTS number.

12. FAX. The Point-Of-Contact's FAX number. Specify area code or FTS number.

13. Location. Specify Point-Of-Contact's office location.

Examples:

SF - San Francisco Field Office

CH - Chicago Field Office

14. Change Description. Describe concisely but thoroughly the change being proposed including what is being changed, what it is being changed from and will be changed to, what is involved in making the change, and any other data necessary to understand the change. Describe the technical problems that need

correcting or improving. Include physical changes to buildings, equipment, or systems.

15. Change Justification. Describe why the change is required, its purpose, and why it is necessary. Describe how the change will meet established requirements, increase capacity, reduce cost, or accelerate completion.

For directed changes, specify the document or source that authorized the change.

16. Impact of Non-Approval. Describe the impact to the project, program, or other factors if the change is not implemented. Discuss relevant impacts to safety, operability, security, schedules, cost, and/or technical, etc.

17. BCP Number. Same as block number 1.

18. BCP Title. Same as block number 2.

19. Impact on Cost Baseline: Show the approved baseline, the proposed baseline, and net change for Total Estimated Construction Cost (TECC), Total Project Cost (TPC), contingency, and available contingency.

Note:

For Baseline Contingency show the authorized total allocation of funds reserved for project uncertainties.

For Proposed Contingency show the revised total allocation based on approval of the change.

For Baseline Available Contingency, show the current balance of contingency funds.

For Proposed Available Contingency, show the revised balance of contingency funds based on approval of the change.

Example:

	<u>Baseline</u>	<u>Proposed</u>	<u>Change</u>
Total Estimated Construction Cost	52,000,060,000,000	+8,000,000	

Total Project Cost	72,000,000	84,000,000	+12,000,000
Contingency	5,000,000	6,000,000	+1,000,000
Available Contingency	500,000	1,500,000	+1,000,000

20. Impact on Funding Profile. Show the baseline (as given in the Congressional Construction Project Data Sheets), proposed, and net change in TPC funding (in millions of dollars) by fiscal year. Show the total of the baseline, proposed, and net change funding profiles. The totals should correspond to the baseline, proposed, and net change TPC in Block 19.

21. Explanation of Impact on Cost and Funding Baselines.
Further discussion or clarification of impact to cost and funding baselines, if required.

22. Impact on Schedule Baseline: List all controlled milestones impacted by the change. Show the baseline date, proposed date, and net change. The dates should be given in terms of Month/Year.

Example:

<u>Milestone</u>	<u>Baseline</u>	<u>Proposed</u>	<u>Change</u>
Complete Procurement	3/92	8/92	+5 Months
Complete Construction	9/92	2/93	+5 Months

23. Explanation of Impact on Schedule Baseline: Discuss further or clarify the impact to schedule baselines, if required.

24. BCP Number. Same as block number 1.

25. BCP Title. Same as block number 2.

26. Impact on Technical Baselines. List of technical baselines, both functional and design, impacted by change proposal. Specify impact in quantifiable terms, such as change in square footage, accelerator beam currents, etc.

Example:

<u>Item</u>	<u>Baseline</u>	<u>Proposed</u>
Utility Building	2,000 sq ft	1,500 sq ft
Beam Current	1 mA	5 mA

27. Explanation of Impact on Technical Baseline. Further discussion or clarification of impact to technical baselines.

28. Other Impacts. Discuss fully any other significant impacts, such as environment, safety, health, or otherwise, that should be considered in the evaluation of the change proposal.

29. Interim or Corrective Actions. Describe any interim action necessary to mitigate the impact of major problems or concerns until the change proposal is approved and implemented. An example would be the temporary closing of a facility to all personnel until certain safety improvements were completed.

30. BCP Number. Same as block number 1.

31. BCP Title. Same as block number 2.

32. Field Disposition - Level 2. Members and advisers to ~~the~~ Field BCCB will sign, date, designate their title, and record recommendations in the blocks provided.

The Field board Chairperson responsible for changes to Capital Projects and/or Operating Projects determines the disposition, then signs and dates the form.

33. Program Disposition - Level 1. Members and advisers to the Program BCCB will sign, date, and record recommendations in the blocks provided. If an adviser is required, check the box "Yes." If not required, check "No."

The Chairperson responsible for disposition of change signs and dates the form.

34. Explanation (If Action is Approved with Conditions, or Not Concurred Upon). Space is available, as required, to specify conditions of approval, deferral, or non concurrence.

Where space is limited, additional pages may be attached. Backup documentation should be attached, as needed.

ATTACHMENT 3

ENERGY RESEARCH
BASELINE CHANGE CONTROL PROCESS
FORMS

ATTACHMENT 4

ENERGY RESEARCH
BASELINE CHANGE CONTROL BOARD
CHARTER